

PTO/SB/17 (10-04)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1330.00

Complete if Known

Application Number	09/851,580
Filing Date	05/10/2001
First Named Inventor	Jiunn-Ren Hwang
Examiner Name	Ruggles, John S
Art Unit	1756
Attorney Docket No.	NAUP0292USA

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number: 50-3105
Deposit Account Name: North America Intellectual Property Corp.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) or any underpayment of fee(s)
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 790	2001 395	Utility filing fee	
1002 350	2002 175	Design filing fee	
1003 550	2003 275	Plant filing fee	
1004 790	2004 395	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 88	2201 44	Independent claims in excess of 3
1203 300	2203 150	Multiple dependent claim, if not paid
1204 88	2204 44	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 430	2252 215	Extension for reply within second month	
1253 980	2253 490	Extension for reply within third month	
1254 1,530	2254 765	Extension for reply within fourth month	
1255 2,080	2255 1,040	Extension for reply within fifth month	
1401 340	2401 170	Notice of Appeal	
1402 340	2402 170	Filing a brief in support of an appeal	
1403 300	2403 150	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	1330.00
1501 1,370	2501 685	Utility issue fee (or reissue)	
1502 490	2502 245	Design issue fee	
1503 660	2503 330	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1330.00

SUBMITTED BY

Name (Print/Type)	Winston Hsu	Registration No. (Attorney/Agent)	41,526	Telephone	302-729-1562
Signature	<i>Winston Hsu</i>			Date	11/17/2004

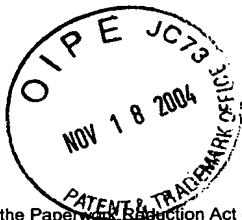
(Complete if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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PTO/SB/64 (09-04)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**PETITION FOR REVIVAL OF AN APPLICATION FOR PATENT
ABANDONED UNINTENTIONALLY UNDER 37 CFR 1.137(b)**

Docket Number (Optional)
NAUP0292USA

First named inventor: Jiunn-Ren Hwang

Application No.: 09/851,580

Art Unit: 1756

Filed: 05/10/2001

Examiner: Ruggles, John S

Title: METHOD OF FORMING STORAGE NODES IN A DRAM

Attention: Office of Petitions

Mail Stop Petition

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

FAX (703) 872-9306

NOTE: If information or assistance is needed in completing this form, please contact Petitions
Information at (703) 305-9282.

The above-identified application became abandoned for failure to file a timely and proper reply to a notice or action by the United States Patent and Trademark Office. The date of abandonment is the day after the expiration date of the period set for reply in the office notice or action plus an extensions of time actually obtained.

APPLICANT HEREBY PETITIONS FOR REVIVAL OF THIS APPLICATION

NOTE: A grantable petition requires the following items:

- (1) Petition fee;
- (2) Reply and/or issue fee;
- (3) Terminal disclaimer with disclaimer fee - required for all utility and plant applications filed before June 8, 1995; and for all design applications; and
- (4) Statement that the entire delay was unintentional.

1. Petition fee

- ☐ Small entity-fee \$ _____ (37 CFR 1.17(m)). Applicant claims small entity status. See 37 CFR 1.27.
- ☒ Other than small entity - fee \$ 1330 (37 CFR 1.17(m))

2. Reply and/or fee

A. The reply and/or fee to the above-noted Office action in
the form of Petition to revive under 37CFR1.137(b) (identify type of reply):

- ☐ has been filed previously on _____.
- ☒ is enclosed herewith.

B. The issue fee and publication fee (if applicable) of \$ _____.

- ☐ has been paid previously on _____.
- ☐ is enclosed herewith.

[Page 1 of 2]

This collection of information is required by 37 CFR 1.137(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

11/19/2004 EABUBAK1 00000028 503105 09851580

01 FC:1453 1370.00 DA

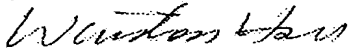
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

3. Terminal disclaimer with disclaimer fee

- ☒ Since this utility/plant application was filed on or after June 8, 1995, no terminal disclaimer is required.
- ☐ A terminal disclaimer (and disclaimer fee (37 CFR 1.20(d)) of \$ _____ for a small entity or \$ _____ for other than a small entity) disclaiming the required period of time is enclosed herewith (see PTO/SB/63).

4. STATEMENT: The entire delay in filing the required reply from the due date for the required reply until the filing of a grantable petition under 37 CFR 1.137(b) was unintentional. [NOTE: The United States Patent and Trademark Office may require additional information if there is a question as to whether either the abandonment or the delay in filing a petition under 37 CFR 1.137(b) was unintentional (MPEP 711.03(c), subsections (III)(C) and (D)).]

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

 _____ Signature	11/17/2004 _____ Date
Winston Hsu _____ Typed or printed name	41,526 _____ Registration Number, if applicable
P.O.BOX 506 _____ Address	Voice Mail:302-729-1562 _____ Telephone Number
Merrifield, VA 22116 U.S.A _____ Address	

- Enclosures: ☒ Fee Payment
- ☒ Reply
- ☐ Terminal Disclaimer Form
- ☐ Additional sheets containing statements establishing unintentional delay
- ☒ Other: Docket Record, Acopy of the Preliminary Amendment to the 10/9/2004 Office Letter, A copy of Notice of Abandonment

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- ☐ Deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.
- ☐ Transmitted by facsimile on the date shown below to the United States Patent and Trademark Office as (703) 872-9306.

 Date

 Signature

 Typed or printed name of person signing certificate



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Jiunn-Ren Hwang et al.

5 Examiner: RUGGLES, JOHN S

Filing Date: 05/10/2001 Art Unit: 1756

App. No.: 09/851,580 Docket No.: NAUP0292USA

Title: METHOD OF FORMING STORAGE NODES IN A DRAM

10

To: Commissioner for Patents
P.O. BOX 1450
Alexandria, VA 22313-1450

15 Subject: Petition to Revive Under 37 CFR §1.137(b)

Dear Sir/Madam:

20 This is a petition under 37 CFR 1.137(b) to revive the above-identified application, which had become abandoned on 12/21/2004 for failure to timely file a proper reply to the Office communication mailed on 10/9/2003.

25 The entire delay in filing the required reply to the Office letter of 10/9/2003 was unintentional. A Notice of Non-Compliant Amendment mailed on 10/9/2003 was never received by the applicant until having a telephonic interview with the examiner on 4/14/2004. A search of the file jacket and docket record attests to the fact that the applicant didn't received the Notice of Non-Compliant Amendment between filing RCE on 8/19/2003 and having a telephonic interview with examiner John Ruggles (see Attachment 1).

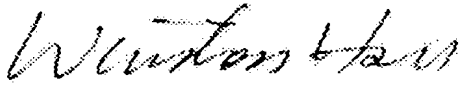
30

After the telephonic interview, an unofficial copy of the Notice of Non-Compliant Amendment was facsimiled to the undersigned agent by the examiner

on 4/14/2004. And the Interview Summary mailed on 4/16/2004 indicated that the applicant should comply with MPEP 711.03 C II to avoid a holding of abandonment for failure to respond to the Office action mailed on 10/9/2004. However, an unintentional mistake was happened that only a preliminary amendment was made on
5 5/6/2004 without a petition to withdraw holding of abandonment and the relevant evidence to show non-receipt of the 10/9/2004 Office letter.

Due to the above, a petition under 37 CFR 1.137(b) to revive the above-identified application is submitted. The entire delay in timely submitting the relevant evidence
10 was unintentional. Accordingly, the applicant hereby request that this application be revived and reconsider the preliminary amendment to the 10/9/2004 Office letter (see Attachment 2). The required petition fee \$1,330.00, as required by 37 CFR 1.17(m), is enclosed.

15 Respectfully submitted,



Date: November 17, 2004

Winston Hsu, Patent Agent No. 41,526
20 P.O. BOX 506, Merrifield, VA 22116, U.S.A.
Voice Mail: 302-729-1562
Facsimile: 806-498-6673
e-mail : winstonhsu@naipo.com

(Please contact me by voice mail if you need a telephone communication.)

25

本所案號: NAU-P0292-USA-5 名稱: _____
 客戶案號: UMCD-2800-522 _____
 國外案號: _____
 專利案號: 09/851,580 申請日期: 5/10/200 專利日期: _____
 發明人: _____

文件 編號	階 段	績效 編號	日期	記錄人	項目	摘要
			2003/7/7	YUMI	聯電	
			2/7	Irene Wang	To River	RCE 寫作
3			7/9	Rebecca	RCE 寫作	
			7/21	cutly	To, NAU.	初稿
			8/1/03	Irene Wang		可送 PTO
			8/19/2003	Dana	fax 8/19 fedex 8/19	RCE 送件
			11/9	luz	To: HIR	IDS 期限 1/10
1			12/09	Rebecca		IDS 寫作 12/11
			12/16/03	Sandy	To: PTO	送 IDS
			4/13/04	Serina	審查員 From PTO	John Ruggles 表示 Amendment 6 個月未回覆
			4/15/04	1/2	From 審查員 To: Rebecca	依審查員指示進行修改
4			4/28/04	Rebecca	修正寫作	
			05/06/04	Cawl	To: PTO	送修正 (by fax)
			11/4/04	Alison	From: PTO	Notice of Abandonment

案件的每一個階段及相關文件的產生及出入均應詳實記載。

NPO-PIA074-02

記憶傳送報表

時間 : 06-05-'04 14:52
電話號碼1 : 8064986673
名稱 : WINSTON HSU, NO. 41526

檔案號碼 : 102
日期 : 06.05 14:49
至 : 00217038729310
原稿頁數 : 8
啓始時間 : 06.05 14:50
結束時間 : 06.05 14:52
傳送頁數 : 8
狀態 : OK

傳送原稿

**NORTH AMERICA
INTERNATIONAL PATENT OFFICE**

P.O. BOX 506, Merrifield, VA 22116, U.S.A.
TEL: +886-2-8923-7350 FAX: +886-2-2929-5950 e-mail: winstonhsu@naipo.com.tw

**FAX TO: Ruggles, John S
ART UNIT: 1756**

**Tel: (703) 306-5665
Fax: (703) 872-9310**

FROM: Winston Hsu, PATENT AGENT, REG. NO. : 41,526

SERIAL NO.: 09/851,580

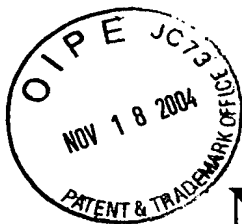
ATTORNEY DOCKET NO.: NAUP0292USA

SUBJECT: PRELIMINARY AMENDMENT

TOTAL PAGES: 8 PAGES (INCLUDING COVER PAGE)

Winston Hsu 2004/05/06

NAUP0292USA0_A3_1



NORTH AMERICA
INTERNATIONAL PATENT OFFICE

P.O. BOX 506, Merrifield, VA 22116, U.S.A.

TEL:+886-2-8923-7350 FAX:+886-2-2929-5950 e-mail:winstonhsu@naipo.com.tw

FAX TO: Ruggles, John S
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Tel: (703) 306-5665
Fax: (703) 872-9310

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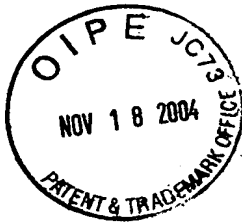
ATTORNEY DOCKET NO.: NAUP0292USA

SUBJECT: PRELIMINARY AMENDMENT

TOTAL PAGES: 8 PAGES (INCLUDING COVER PAGE)

Winston Hsu 2004/05/06

NAUP0292USA0_A3_1



PTO/SB/97 (08-00)
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Date

Carol Chuang
Signature

Carol Chuang
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of transmission, or this certificate must identify
each submitted paper.

APPLICATION NUMBER: 09/851,580

PAPERS INCLUDED:

(1) Transmittal Form	1 PAGE
(2) Fee Transmittal	1 PAGE
(3) Preliminary Amendment	4 PAGES

Burden Hour Statement: This form is estimated to take 0.03 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/21 (08-03)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6

Application Number

09/851,580

Filing Date

05/10/2001

First Named Inventor

Jiunn-Ren Hwang

Art Unit

1756

Examiner Name

RUGGLES, JOHN S

Attorney Docket Number

NAUP0292USA

ENCLOSURES

(Check all that apply)



Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Response to Missing Parts/
Incomplete ApplicationResponse to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

Remarks

After Allowance communication
to Technology Center (TC)Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please
Identify below):**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm
or
Individual name

Winston Hsu, Reg. No.: 41,526

Signature

Winston Hsu

Date

*5/6/2004***CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

Signature

Date

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PTO/SB/17 (01-03)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known

Application Number	09/851,580
Filing Date	05/10/2001
First Named Inventor	Jiunn-Ren Hwang
Examiner Name	RUGGLES, JOHN S
Art Unit	1756
Attorney Docket No.	NAUP0292USA

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 50-3105

Deposit Account Name North America Intellectual Property Corp

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
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1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	<input type="text"/>	
Independent Claims	<input type="text"/>	-3** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent	<input type="text"/>				<input type="text"/>	<input type="text"/>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

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1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
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8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
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1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Winston Hsu	Registration No. (Attorney/Agent)	41,526	Telephone	886289237350
Signature	<i>Winston Hsu</i>	Date	5/6/2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jiunn-Ren Hwang, Examiner: Ruggles, John S
5 Anseime Chen,
I-Hsiung Huang

Filing Date: 05/10/2001 Art Unit: 1756
Application No.: 09/851,580 Docket No.: NAU0292USA

10 Title: METHOD OF FORMING STORAGE NODES IN A DRAM

To: The Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

15

Subject: Reply to the Office Action Dated 10/09/2003
Response to the Telephone Interview
Conducted on 04/14/2004

20 Dear Sir:

In response to the office action and the telephone
interview identified above, the amendments to the
claims is now re-submitted. Consideration of the
25 Request for Continued Examination filed on 08/19/2003
is politely requested.

The independent claim 3 and the dependent claims
4-6 referring in the above identified office action
30 are already cancelled in the Response to the Office
Action dated 01/28/2003. This fact is evident by the
Office Action dated 03/11/2003, in which the Examiner

stated "the previous 35 U.S.C. 102(b) rejection of claim 3 as being anticipated by Ueno (Japanese Patent Publication 01-107527) of Paper No.4 is now removed because claim 3 has been cancelled." and "the previous
5 35 U.S.C. 103(a) rejection of claims 4-6 as being unpatentable over Ueno as applied to claim 3, and further in view of Adair in Paper No. 4 are now removed because claims 4-6 have been cancelled".

AMENDMENTS TO THE CLAIMS

1. (Currently Amended) A method of forming storage nodes in a dynamic random access memory (DRAM) on a semiconductor wafer, the semiconductor wafer comprising a substrate, a thin film layer positioned on the substrate, and a photoresist layer positioned on the thin film layer, the method comprising:

performing a first exposure process to form first exposure regions ~~including a plurality of lines that are parallel to each other and covering each storage node~~ that are lines parallel with each other on the photoresist layer;

performing a second exposure process to form second exposure regions ~~cutting the plurality of lines of the first exposure regions that are rectangles interlaced with and perpendicular to each other on the photoresist layer,~~ and the second exposure regions doing not overlap the first exposure regions;

performing a development process on the first exposure regions and the second exposure regions of the photoresist layer;

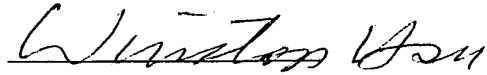
removing the first exposure regions and the second exposure regions of the photoresist layer to form an array photoresist layer on the thin film layer; and

using the array photoresist layer as a mask to perform an etching process to remove portions of the thin film layer not covered by the array photoresist layer so as to form an array thin film layer, the array thin film layer being used as the storage nodes in the DRAM.

2. (Original) The method of claim 1 wherein the method is used to prevent rounding corner effects, end-of-line shortening, or other optical proximity effects to patterns of the photoresist layer.

Claims 3-6 are cancelled.

5 Sincerely yours,



Date: 5/6/2004

Winston Hsu, Patent Agent No.41,526

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(Please contact me by e-mail if you need a telephone

15 communication and I will return your call promptly.)



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/851,580	05/10/2001	Jiunn-Ren Hwang	NAUP0292USA	3189

27765 7590 10/22/2004

NAIPO (NORTH AMERICA INTERNATIONAL PATENT OFFICE)
P.O. BOX 506
MERRIFIELD, VA 22116

EXAMINER

RUGGLES, JOHN S

ART UNIT	PAPER NUMBER
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1756

DATE MAILED: 10/22/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

954372



Notice of Abandonment

Application No.

09/851,580

Examiner

John Ruggles

Applicant(s)

HWANG ET AL.

Art Unit

1756

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

This application is abandoned in view of:

1. ☒ Applicant's failure to timely file a proper reply to the Office letter mailed on 09 October 2003.
 - (a) ☒ A reply was received on 06 May 2004 (with a Certificate of Mailing or Transmission dated X), which is after the expiration of the period for reply (including a total extension of time of 5 month(s)) which expired on 09 April 2004.
 - (b) ☐ A proposed reply was received on _____, but it does not constitute a proper reply under 37 CFR 1.113 (a) to the final rejection.
(A proper reply under 37 CFR 1.113 to a final rejection consists only of: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114).
 - (c) ☐ A reply was received on _____ but it does not constitute a proper reply, or a bona fide attempt at a proper reply, to the non-final rejection. See 37 CFR 1.85(a) and 1.111. (See explanation in box 7 below).
 - (d) ☐ No reply has been received.
2. ☐ Applicant's failure to timely pay the required issue fee and publication fee, if applicable, within the statutory period of three months from the mailing date of the Notice of Allowance (PTOL-85).
 - (a) ☐ The issue fee and publication fee, if applicable, was received on _____ (with a Certificate of Mailing or Transmission dated _____), which is after the expiration of the statutory period for payment of the issue fee (and publication fee) set in the Notice of Allowance (PTOL-85).
 - (b) ☐ The submitted fee of \$_____ is insufficient. A balance of \$_____ is due.
The issue fee required by 37 CFR 1.18 is \$_____. The publication fee, if required by 37 CFR 1.18(d), is \$_____.
 - (c) ☐ The issue fee and publication fee, if applicable, has not been received.
3. ☐ Applicant's failure to timely file corrected drawings as required by, and within the three-month period set in, the Notice of Allowability (PTO-37).
 - (a) ☐ Proposed corrected drawings were received on _____ (with a Certificate of Mailing or Transmission dated _____), which is after the expiration of the period for reply.
 - (b) ☐ No corrected drawings have been received.
4. ☐ The letter of express abandonment which is signed by the attorney or agent of record, the assignee of the entire interest, or all of the applicants.
5. ☐ The letter of express abandonment which is signed by an attorney or agent (acting in a representative capacity under 37 CFR 1.34(a)) upon the filing of a continuing application.
6. ☐ The decision by the Board of Patent Appeals and Interference rendered on _____ and because the period for seeking court review of the decision has expired and there are no allowed claims.
7. ☒ The reason(s) below:

See Continuation Sheet

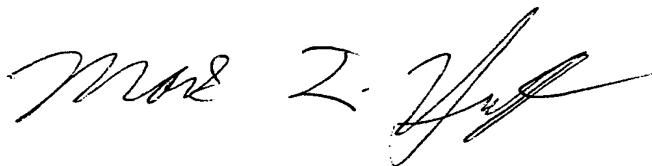
John Ruggles
Examiner, Art Unit 1756
571-272-1390

Petitions to revive under 37 CFR 1.137(a) or (b), or requests to withdraw the holding of abandonment under 37 CFR 1.181, should be promptly filed to minimize any negative effects on patent term.

Item 7 - Other reasons for holding abandonment: On 4/14/04, the Examiner contacted Applicants' representative, Winston Hsu, since no response had been received more than 6 months after a notice of non-compliance was mailed on 10/9/03. Winston Hsu stated that the 10/9/03 Office action had not been received and requested that an unofficial copy be faxed to him for response. This fax was sent on or about 4/14/04. Applicants were also informed of their burden to comply with MPEP 711.03 C II, requiring specific evidence to show non-receipt of the 10/9/03 Office action, in order to avoid a holding of abandonment. The interview summary mailed on 4/16/04 to Applicants clearly set forth this latter requirement, but Applicants' submission filed on 5/6/04 (1) is untimely in response to the 10/9/03 Office action and (2) is non-responsive to the 4/16/04 interview summary as not providing any evidence in compliance with MPEP 711.03 C II showing non-receipt of the 10/9/03 Office action. Therefore, this application is now held to be ABANDONED.



John Ruggles
Examiner, Art Unit 1756
571-272-1390



MARK E. HUFF
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 1700